COPP 10.3 Case Management (Case Officers)

Prison

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| Principles *As referenced in the* [Guiding Principles for Corrections in Australia, 2018](http://justus/search/Pages/results.aspx?k=guiding%20principles%20for%20corrections)*:*  5.1.3 Case management of prisoners is holistic and structured. Case planning considers risks and needs and utilises a multidisciplinary approach that encourages positive behaviour change and promotes accountability.  5.3.1 Prisoners/offenders are supported and encouraged by staff to address their criminogenic needs through active participation in developing case plans, accessing aligned services and participating in programs specific to their risk of reoffending and individual needs.  5.3.2 Prisoner/offender engagement with meaningful prosocial activities is supported and encouraged throughout their sentence. |

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# Scope

This Commissioner’s Operating Policy and Procedure (COPP) applies to all public and private prisons administered by or on behalf of the Department of Justice (the Department), with the exception of the following:

* Wandoo Rehabilitation Prison – women prisoners are case managed in accordance with program requirements and local procedures that support the alcohol and other drug (AOD) rehabilitation services specific to that prison.
* Casuarina Alcohol and Drug (AOD) facility – male prisoners are case managed in accordance with program requirements and local procedures that support the alcohol and other drug (AOD) rehabilitation services specific to that prison.

# Policy

Case management is the provision of integrated and coordinated services that assist offenders to address their offending behaviour, thereby reducing the likelihood of re-offending.

Case management will incorporate people within the prison and the community who engage and have meaningful interactions with the prisoner.

Case management is based on the principles that prisoners are:

* imprisoned as punishment, not for punishment
* treated with respect and dignity
* managed fairly and openly without discrimination against race, religion, gender or sexual orientation
* individually managed with regard to their individual needs
* provided with a specific focus on addressing their offending behaviour
* provided with assistance to address those problems arising from imprisonment and problems which are likely to confront prisoners on their release
* supervised and managed with an emphasis on their reintegration into the community.

Case management encourages communication, responsibility and a focus on providing opportunities for pro-active behaviour and engagement.

Case management provides a structure for staff (Case Officers) and contributes to the timely completion of relevant information and reports.

# Introduction

### The core features of case management include:

1. assessment of the prisoner’s risks and needs and development of an Individual Management Plan (IMP).
2. coordination and delivery of cost-effective services identified to address the prisoner’s offending behaviour
3. monitoring and review of the prisoner’s progress against the recommendations of their IMP.

### Generally, an Individual Management Plan (IMP) is developed by an Assessment Officer for prisoners with an effective sentence greater than six (6) months (refer [COPP 2.3 - Assessments, Placements and Sentence Management](http://justus/intranet/prison-operations/Pages/prison-copps.aspx) for details on IMP requirements).

### All prisoners with an approved IMP shall have a Case Officer allocated to them, to facilitate case management contacts and periodic contact reports.

### The Assistant Superintendent Operations (Head Office) shall be responsible for the overall service delivery and monitoring of case management standards across the state.

# Case Management

## Case allocation

### The Case Management Coordinator (or Unit Manager in some prisons) shall allocate a Case Officer to all prisoners with an approved IMP, within 7 days of the prisoner’s arrival at their permanent prison placement.

### The allocation of the Case Officer shall be recorded on TOMS.

## Role of the Case Officer

### Case Officers, as a minimum, shall engage with allocated prisoners and complete the required contact reporting requirements, as illustrated in [Appendix A: Case Management Reports-Contact Cycle-Minimum Requirements](#_Appendix_A:_Case).

### The Case Officer shall support and actively contribute to the prisoner’s overall case management, assisting them to:

1. achieve the requirements of their IMP
2. maintain good behaviour while in prison
3. progress through the security classifications where appropriate
4. successfully reintegrate into the community upon release.

### The Case Officer has responsibility to:

1. promote prisoner behaviour in accordance with the IMP recommendations,
2. arrange any specialist intervention strategies and provide feedback to prisoners as required
3. ensure the assessed individual risks and needs of the prisoner are supported, managed and documented
4. coordinate, arrange and encourage attendance at program/treatment interventions, and vocational/educational courses, identified in the IMP, as well as other activities (i.e. recreational) that may assist prisoners re-integration into the community
5. liaise with other relevant staff and/or Case Officers to support the implementation of the IMP
6. contribute to the overall management of the prisoner through the provision of written and verbal reports and attend the prisoner’s Case Conference, where relevant
7. act as a positive role model.

## Primary (initial) contact reports

### Case Officers shall, within 14 days of being allocated a prisoner, conduct an initial case management interview and complete the Primary (Initial) Contact Report on TOMS.

### The initial case management contact with the prisoner shall ensure:

1. issues affecting the prisoners care and wellbeing have been identified and are being managed
2. the prisoner is familiar with and understands the prison/unit routine
3. the prisoner is able to arrange and maintain contact with their family and friends in the community
4. the prisoner is engaged in work or educational activities
5. the prisoner understands and is encouraged to address their offending behaviour through participation in scheduled programs.

### Primary Contact Reports shall be completed following:

1. the approval of a prisoner’s initial IMP and placement at their permanent placement prison
2. a prisoner’s subsequent placement at a different prison on a permanent prison transfer.

## Regular contact reports

### Case Officers shall maintain regular contact with allocated prisoners as necessary, to assist and motivate the prisoner to achieve the requirements of their IMP, following initial case management contact.

### Prisoners will have their IMP reviewed by an Assessment Officer, in conjunction with the Case Officer, every 6 or 12 months dependent on the length of the effective sentence still to serve. In between the IMP Review, Case Officers shall complete a Regular Contact Report on TOMS.

### For prisoners with an effective sentence of less than 3 years, or who are within the final 3 years of their effective sentence, the formal reporting requirements shall be every three months; alternating between the completion of a Regular Contact Report and an IMP Review.

### For prisoners with more than 3 years effective sentence to serve, the formal reporting requirements shall be every six months; alternating between the completion of a Regular Contact Report and an IMP Review.

### Regular contact with prisoners shall focus on:

1. monitoring progress against their IMP and identifying any issues that may impact on the prisoner’s ability to meet their requirements
2. monitoring and encouraging the prisoner’s adherence with expected work and unit behaviour standards
3. informing and assisting prisoners to apply for activities associated with their re-integration and release back into the community, for example:

* Home Leave: [COPP 14.2 – Home Leave](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* Prisoner Employment Program: [COPP 8.2 – Prisoner Employment Program](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* Parole: [COPP 14.4 – Parole Applications](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* Re-Entry Release: [COPP 14.1 – Re-Entry Release Orders](http://justus/intranet/prison-operations/Pages/prison-copps.aspx).

### Prisoners shall be encouraged to make contact with their allocated Case Officer, where they need assistance to understand or meet aspects of their IMP.

## Additional contact and reporting by Case Officers

### Case Officers shall record all case management interviews and significant contacts that inform a prisoner’s progress, or otherwise, with the requirements of their IMP.

### Case Officers shall document additional contacts with allocated prisoners by utilising either:

1. a Regular Contact Report, in circumstances where reasonable progress or changes require documenting; or
2. via TOMS ACM offender notes, to record information that will assist in the management/intervention of a prisoner, providing evidence of any noteworthy interaction or observation.

### Other Prison Officers or prison staff who engage with the prisoner in relation to matters that may impact their case management shall record an entry in TOMS ACM offender notes; this may include:

### disciplinary matters

### positive behaviour demonstrated by the prisoner

### participation in other activities or services offered, as evidence of the prisoner’s effort and/or attitude towards progress.

### Where prisoners are due to apply or be reviewed for the purpose of reintegration or release activities, Case Officers shall ensure prisoners are aware of any requirements or relevant information to provide to the Case Management Coordinator (or prison’s assessment area), to support their eligibility or suitability for these activities.

# Records Management

### Prisoners shall be encouraged not to have hard copies of their Primary and Regular Contact Reports in their cells due to the confidential nature of issues recorded.

### Prisoners may make requests to view copies of Primary or Regular Contact Reports stored on the Prisoner Management File through the Superintendent's delegate.

### Prisons shall store copies of Primary and Regular Contact Reports only on the Prisoner’s Management File (if required for later reference) and forward the original reports to Corporate Records Branch.

### Prison staff shall ensure unit files and any assessment files accompany prisoners to the next prison, where applicable.

### Enquiries for access to records involving other prisoners or any external requests for records shall be made under the provisions outlined in [COPP 9.6 – Access to Information](http://justus/intranet/prison-operations/Pages/prison-copps.aspx) or the departmental [Freedom of Information](https://www.wa.gov.au/organisation/department-of-justice/freedom-of-information-department-of-justice) process, as appropriate.

### Reports and documents from TOMS (i.e. IMPs, assessment reports etc.) shall not be printed and stored on prison/prisoner files, unless the document was required to be signed by the prisoner and/or staff.

# Annexures

## Related COPPs and documents

Related COPPs

* [COPP 2.3 – Assessments, Placements and Sentence Management](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* [COPP 8.2 – Prisoner Employment Program](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* [COPP 9.6 – Access to Information](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* [COPP 14.1 – Re-Entry Release Orders](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* [COPP 14.2 – Home Leave](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)
* [COPP 14.4 – Parole Applications](http://justus/intranet/prison-operations/Pages/prison-copps.aspx)

Other documents

* [Freedom of Information](https://www.wa.gov.au/organisation/department-of-justice/freedom-of-information-department-of-justice)

## Definitions and acronyms

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| Term | Definition |
| Assessment Officer | Prison Officer responsible for completing assessment related documentation or other checklists in TOMS as required by the Case Management Coordinator or Authorised Assistant Superintendent. |
| Authorised Assistant Superintendent | The Assistant Superintendent or Manager Assessments (or in the case of privately operated prisons, the relevant Assistant Director) of the prison whose responsibilities include prisoner management and/or assessments. The Authorised Assistant Superintendent is authorised by the Superintendent to undertake the responsibilities as per this COPP. |
| Case Management Coordinator | The position responsible for the quality control of assessment documentation and the organisation of Case Conferences. (**Note:** This position is not in operation at Hakea Prison or Boronia Pre-release Centre. The responsibilities of the Case Management Co-ordinator at Boronia are assigned to the Assistant Superintendent Operations and at Hakea the responsibilities are assigned to the Assessment Centre). |
| Case Officer | A Prison Officer assigned to case manage a prisoner. |
| Commissioner’s Operating Policy and Procedures (COPP) | COPPs are policy documents that provide instructions to staff as to how the relevant legislative requirements are implemented. |
| Effective Sentence | The length of sentence that a prisoner is actually required to serve in prison prior to their Earliest Eligibility Date (EED) for release on parole, Earliest Date of Release (EDR) or Statutory Review Date (SRD). |
| Guiding Principles for Corrections in Australia, 2018 | The guidelines and the accompanying principles constitute outcomes or goals to be achieved, rather than a set of absolute standards or laws to be enforced. They represent a statement of intent that each Australian State and Territory can use to develop their own range of relevant legislative policy and performance standards to reflect best practice and community demands. |
| Individual Management Plan (IMP) | The approved plan developed in consultation with treatment and education assessors and the prisoner. This plan from sentence to release, identifies the prisoner’s needs, includes recommendations for prison placements, security classifications and interventions to assist and support the prisoner rehabilitation. |
| Prison Officer | A person engaged or deemed to have been engaged to be a prison officer under s.13 of the [*Prisons Act 1981*](http://www.slp.wa.gov.au/legislation/statutes.nsf/main_mrtitle_751_homepage.html)or deemed to have been appointed under s. 6 of the [*Prisons Act 1981*](http://www.slp.wa.gov.au/legislation/statutes.nsf/main_mrtitle_751_homepage.html) |
| TOMS (Total Offender Management Solution) | An electronic database used by the Department of Justice, Corrective Services to record and manage comprehensive information relating to prisoners. |
| TOMS Notes | The area where information relating to a prisoner’s Individual Management Plan (or other behaviour/situation that may affect the prisoner’s IMP), may be recorded by the Case Officer or other staff member. Notes inform interested parties as to the prisoner’s current situation. |
| Unit Manager | The Senior Officer managing the unit in which the prisoner is located. |
| Woman | An adult female human being. |

# Assurance

It is expected that:

* Prisons will undertake local compliance in accordance with the [Compliance Manual](http://justus/intranet/department/standards/Pages/monitoring.aspx).
* The relevant Deputy Commissioner will undertake management oversight as required.
* Monitoring and Compliance Branch will undertake checks in accordance with the [Compliance Framework](http://justus/intranet/department/standards/Pages/monitoring.aspx).
* Independent oversight will be undertaken as required.

# Document Version History

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| --- | --- | --- | --- | --- |
| Version no | Primary author(s) | Description of version | Date completed | Effective date |
| 0.1 | Operational Policy | Initial draft | 7 June 2019 | N/A |
| 0.2 | Operational Policy | Updated following consultation | 26 November 2019 | N/A |
| 0.3 | Operational Policy | Tabled for approval with the Project Steering Committee | 31 December 2019 | N/A |
| 0.4 | Operational Policy | Approved by the Project Steering Committee | 24 January 2020 | N/A |
| 0.5 | Operational Policy | Minor amendments and formatting changes | 11 December 2020 | N/A |
| 1.0 | Operational Policy | Approved by the A/Director, Operational Projects, Policy, Compliance and Contracts | 13 December 2020 | 5 October 2020 |
| 1.1 | Operational Policy | Changed female to woman | 2 March 2022 | N/A |
| 2.0 | Operational Policy | Approved by the A/Director, Operational Projects, Policy, Compliance and Contracts | 2 March 2022 | 8 March 2022 |

# Appendix A: Case Management Reports – Contact Cycle – Minimum Requirements

### The diagram below illustrates the minimum contact reports required over a 12 month period of imprisonment for an individual prisoner who is case managed.

